

Request for Records Disposition Authority

Records Schedule Number DAA-0412-2013-0015

Schedule Status Approved

Agency or Establishment Environmental Protection Agency

Record Group / Scheduling Group Records of the Environmental Protection Agency

Records Schedule applies to Agency-wide

Schedule Subject Controls and Oversight

Internal agency concurrences will be provided No

Background Information This schedule covers records related to operations and programs of the EPA and its external business partners that ensure compliance with applicable laws and regulations and prevent waste, fraud, and abuse. Includes: corrective action and the enforcement of activities to remedy internal or external programs that have been found noncompliant with a given law, regulation, or policy; program evaluation and the analysis of internal and external program effectiveness and the determination of corrective actions as necessary; criminal, civil, and administrative investigative files that document major criminal investigations as well as investigations of known or alleged fraud, abuse, irregularities, and violations of laws and regulations involving EPA personnel, programs, or operations administered or financed by EPA, including contractors and others having a relationship with EPA; and program monitoring and the data gathering activities required to determine the effectiveness of internal and external programs and the extent to which they comply with related laws, regulations, and policies.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	1	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0015

Sequence Number	
1	Controls and Oversight
1.1	Historically significant controls and oversight records Disposition Authority Number: DAA-0412-2013-0015-0001
1.2	Long-term controls and oversight records Disposition Authority Number: DAA-0412-2013-0015-0002
1.3	Routine controls and oversight records Disposition Authority Number: DAA-0412-2013-0015-0003
1.4	Short-term controls and oversight records Disposition Authority Number: DAA-0412-2013-0015-0004
1.5	Ombudsman and citizen complaint files Disposition Authority Number: DAA-0412-2013-0015-0005

Records Schedule Items

Sequence Number		
1	Controls and Oversight	
1.1	Historically significant controls and oversight records	
	Disposition Authority Number	DAA-0412-2013-0015-0001
	Includes, but is not limited to: Audit Resolution Board case files; Inspector General (IG) investigative files for cases that document major violations of criminal law or ethical standards by EPA officials and others; IG semiannual reports prepared for submission to Congress; and unusually significant IG case files such as those that result in national media attention, congressional investigation, or substantive changes in Agency policy and procedure.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Manual Citation	Manual Title
	EPA 1016 item a	
	GRS or Superseded Authority Citation	N1-412-07-69/6a(1) N1-412-07-69/6a(2) N1-412-07-70/4a(1) N1-412-07-70/4a(2)
	Disposition Instruction	
	Transfer to the National Archives for Accessioning	Transfer electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown Transfer of these records is ongoing.

1.2

How frequently will your agency transfer these records to the National Archives? **Unknown**
Transfer of these records is ongoing.

Long-term controls and oversight records

Disposition Authority Number **DAA-0412-2013-0015-0002**

Includes, but is not limited to: good laboratory practice (GLP) and audit report files for audits of laboratories involved in performing studies and analyses for EPA's environmental programs, including inspector worksheets, supporting documentation, correspondence, and related records; and IG investigative case files for cases that document investigations of known or alleged fraud, abuse, irregularities, and violations of laws and regulations involving EPA personnel, programs, or operations administered or financed by EPA, including contractors and others having a relationship with EPA and excluding cases covered by item a.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
EPA 1016 item b	

GRS or Superseded Authority Citation **N1-412-07-67/2a**
N1-412-07-70/1b

Disposition Instruction

Cutoff Instruction **Close when audit is complete or case is closed.**

Retention Period **Destroy 20 year(s) after file closure.**

Additional Information

GAO Approval **Not Required**

1.3

Routine controls and oversight records

Disposition Authority Number **DAA-0412-2013-0015-0003**

Includes, but is not limited to: administrative documentation related to the audit resolution process; audit case file final reports and work papers maintained by the headquarters IG or other auditing organization; IG hotline files, including complaints, correspondence with responsible officials, synopses of cases, and monthly and periodic workload and trend reports; IG or other auditing organization management assessment reviews and program evaluations of the auditing organization's procedures or programs for economy, efficiency, and compliance with policies and professional standards; laboratory performance evaluation studies proficiency testing (PT) records relating to how well laboratories perform, including studies, performance evaluation reports, performance summaries, statistical reports, method-specific studies, and related records; responses to audits, evaluations, and investigations maintained by the office being investigated, evaluated or audited, conducted internally (e.g., by IG), or externally (e.g., by Government Accountability Office) and that may be initiated by EPA, an outside agency with oversight over EPA, or requested by Congress, and records related to the Federal Managers Financial Integrity Act (FMFIA); and state and other entity relations and oversight files, including records used to oversee programs operated in lieu of a federal program.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
EPA 1016 item c	

GRS or Superseded Authority Citation
 N1-412-07-1/2a
 N1-412-07-1/9a
 N1-412-07-71/17a
 N1-412-07-69/6b
 N1-412-07-70/2a
 N1-412-07-70/3a
 N1-412-07-70/3c
 N1-412-07-70/6a

Disposition Instruction

Cutoff Instruction Close when case is closed, or activity or report is completed or superseded.

	Retention Period Destroy 10 year(s) after file closure.
	Additional Information
1.4	GAO Approval Not Required
	Short-term controls and oversight records
	Disposition Authority Number DAA-0412-2013-0015-0004
	<p>Includes, but is not limited to: Animal welfare records, including Lab Animal Project Reviews (LAPR), letters of assurance, Institutional Animal Care and Use Committee Minutes, Semi-Annual Facility and Program Inspections and reports to the Institutional Official, Department of Agriculture, Office of Laboratory Animal Welfare, and Association for the Assessment and Accreditation of Animal Care; IG audit case files and copies of the IG's semiannual report maintained by offices other than the headquarters IG; IG complaint files containing information or allegations that are of an investigative nature but do not relate to a specific investigation, including anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling; laboratory activity reports and associated field stations showing program activity; program and program activity evaluation reports and working papers; reports clearance case files maintained for each Agency report created or proposed such as public use reports, including clearance forms, copies of authorizing directives, preparation instructions, and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements; regional oversight and coordination records generated by headquarters program offices when conducting oversight of regional program operations, including implementation reports, inspections, correspondence, reviews and comments on regional program activities; state territories and interstate group file containing records related to environmental improvement and pollution control by states and state combines, including lists and descriptions of political leaders, reports on participation in EPA programs, EPA regional reports and evaluations, extracts from the Congressional Record, special studies and reports, state legislative activity reports, and reports on and by special commissions and citizen groups; and suspension and debarment files related to the suspension and debarment of contractors and grantees, including IG reports, attorney recommendations for actions, notifications to respondents, respondents' submissions, hearing transcripts, briefs and motions, final determinations, and settlement agreements.</p>
	Final Disposition Temporary
	Item Status Active
	Is this item media neutral? Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

1.5

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
EPA 1016 item d	

GRS or Superseded Authority Citation
N1-412-07-68/17a
N1-412-07-68/18a
GRS 16/6
N1-412-07-10/2a
N1-412-07-71/6a
N1-412-07-68/7a
N1-412-07-70/1a
N1-412-07-70/3b
N1-412-07-70/4b
N1-412-07-70/5a
N1-412-07-64/3a

Disposition Instruction

Cutoff Instruction **Close when case is closed, or activity or report is completed.**

Retention Period **Destroy 5 year(s) after file closure.**

Additional Information

GAO Approval **Not Required**

Ombudsman and citizen complaint files

Disposition Authority Number **DAA-0412-2013-0015-0005**

Includes, but is not limited to: requests for information or assistance with complaints or problems arising from EPA regulations or "whistle-blower" information on regulatory infractions or issues, consisting of phone notes, referrals, copies of case log forms, action notes, or other related records.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
EPA 1016 item e	

GRS or Superseded Authority N1-412-07-1/11a
Citation N1-412-07-1/11b

Disposition Instruction

Cutoff Instruction Close when case is completed or closed.

Retention Period Destroy 1 year(s) after file closure.

Additional Information

GAO Approval Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
08/09/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
09/22/2014	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
09/23/2014	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
09/23/2014	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
11/20/2014	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
11/24/2014	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
11/24/2014	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
03/25/2015	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
03/25/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services

03/25/2015	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
03/26/2015	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist

301 Controls and Oversight

Ensures that the operations and programs of the federal government and its external business partners comply with applicable laws and regulations and prevent waste, fraud, and abuse. Includes: corrective action and the enforcement of activities to remedy internal or external programs that have been found non-compliant with a given law, regulation, or policy; program evaluation and the analysis of internal and external program effectiveness and the determination of corrective actions as necessary; and program monitoring and the data gathering activities required to determine the effectiveness of internal and external programs and the extent to which they comply with related laws, regulations, and policies.

Previous Schedule	Previous Title	Previous Retention	New Schedule
082a N1-412-07-1/2a	Response to Audit, Evaluation, and Investigation – Record copy	Close inactive records when corrective action is complete. Destroy 10 years after file closure.	1016c
192a N1-412-07-68/17a	Program and Program Activity Evaluation Work Files – Record copy	Close inactive records upon completion of report. Destroy 1 year after file closure.	1016d
193a N1-412-07-68/18a	Program and Program Activity Evaluation Reports – Record copy	Close inactive records upon completion of report. Destroy 5 years after file closure.	1016d
198a GRS 16/6	Reports Clearance Files – Record copy	Close inactive records upon expiration. Destroy 2 years after file closure.	1016d
203a N1-412-07-1/9a	State and Other Entity Relations and Oversight Files – Record copy	Close inactive records at end of year. Destroy 10 years after file closure.	1016c
255a N1-412-07-10/2a	Regional Oversight and Coordination Files – Record copy	Close inactive records at end of year. Destroy 6 years after file closure.	1016d
259a N1-412-07-1/11a	Ombudsman and Citizen Complaint Files – Completed cases	Close inactive records when case completed. Destroy 1 year after file closure.	1016e
259b N1-412-07-1/11b	Ombudsman and Citizen Complaint Files – Cases requiring additional information	Close inactive records 30 days after request for additional information. Destroy 1 year after file closure.	1016e
322a N1-412-07-67/2a	Good Laboratory Practice (GLP) and Audit Report File – Record copy	Close inactive records upon completion of laboratory audit. Destroy 25 years after file closure.	1016b
456a N1-412-07-71/6a	Laboratory Activity Report Files – Record copy	Close inactive records at end of year. Destroy 3 years after file closure.	1016d
526a N1-412-07-68/7a	State Territories and Interstate Group Files – Record copy	Close inactive records at end of year. Destroy 2 years after file closure.	1016d
586a N1-412-07-71/17a	Laboratory Performance Evaluation Studies Proficiency Testing (PT) – Record copy	Close inactive records at end of year. Destroy 7 years after file closure.	1016c

Crosswalk for schedule 1016
November 30, 2014

601a N1-412-07-64/3a	Recipient and Contractor Debarment and Suspension Records – Record copy	Close inactive records after case is closed, period of debarment or voluntary exclusion is completed or all provisions of the settlement agreement have been completed, whichever is later. Destroy 6 years and 3 months after file closure.	1016d
658a(1) N1-412-07-69/6a(1)	Audit Resolution – Audit resolution board case files – Nonelectronic	Close inactive records when audit resolution is completed. Transfer to the National Archives 30 years after file closure.	1016a
658a(2) N1-412-07-69/6a(2)	Audit Resolution – Audit resolution board case files – Electronic	Close inactive records when audit resolution is completed. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1016a
658a(3) N1-412-07-69/6a(3)	Audit Resolution – Audit resolution board case files – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1016 guidance 008a
658b N1-412-07-69/6b	Audit Resolution – Administrative documentation	Close inactive records when audit resolution is completed. Destroy 10 years after file closure.	1016c
698a N1-412-07-70/1a	Investigative Case Files – Files containing information or allegations that are of an investigative nature but do not relate to a specific investigation	Close inactive records when case is closed. Destroy 5 years after file closure.	1016d
698b N1-412-07-70/1b	Investigative Case Files – All other investigative case files except those that are unusually significant (unusually significant are covered by program development)	Close inactive records when case is closed. Destroy 20 years after file closure.	1016b Unusually significant added to 1016a
699a N1-412-07-70/2a	Management Assessment Reviews and Program Evaluations – Record copy	Close inactive records after inspection is completed. Destroy 8 years after file closure.	1016c
700a N1-412-07-70/3a	Audit Case Files – Final report maintained at headquarters	Close inactive records after final resolution of audit findings. Destroy 8 years	1016c

Crosswalk for schedule 1016
November 30, 2014

		after file closure.	
700b N1-412-07-70/3b	Audit Case Files – Other copies of final report maintained in regional audit offices	Close inactive records after final resolution of audit findings. Destroy 4 years after file closure.	1016d
700c N1-412-07-70/3c	Audit Case Files – Work papers	Close inactive records upon completion of audit. Destroy 8 years after file closure.	1016c
701a(1) N1-412-07-70/4a(1)	Semiannual Reports of the Inspector General – Record copy – Nonelectronic	Close inactive records upon transmission to Congress. Transfer to the National Archives in 5 year blocks 20 years after file closure.	1016a
701a(2) N1-412-07-70/4a(2)	Semiannual Reports of the Inspector General – Record copy – Electronic.	Close inactive records upon transmission to Congress. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1016a
701a(3) N1-412-07-70/4a(3)	Semiannual Reports of the Inspector General – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1016 guidance 008a
701b N1-412-07-70/4b	Semiannual Reports of the Inspector General – All other copies	Close inactive records upon transmission to Congress. Destroy 3 years after file closure.	1016d
702a N1-412-07-70/5a	Suspension and Debarment Files – Record copy	Close inactive records upon completion of case. Destroy 8 years after file closure.	1016d
703a N1-412-07-70/6a	Hotline Files – Record copy	Close inactive records upon completion of case. Destroy 10 years after file closure.	1016c